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PTO/SB/17 (10-03)
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 110.00

Complete if Known

Application Number	10/642,578
Filing Date	August 19, 2003
First Named Inventor	Moungi Bawendi
Examiner Name	Hoa T. Lee
Art Unit	1773
Attorney Docket No.	14952.0276 C1

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit
Account
Number
Deposit
Account
Name

19-4293

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	X	
Independent Claims	-3** =	X	
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) statutory disclaimer

\$110.00

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) \$110.00

SUBMITTED BY

Name (Print/Type) Harold H. Fox

Registration No.
(Attorney/Agent)

41,498

(Complete (if applicable))

Telephone 202 429-3000

Signature

Date

August 11, 2004

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Mounji G. Bawendi et al. Art Unit : 1773
Serial No. : 10/642,578 Examiner : Hoa T. Le
Filed : August 19, 2003
Title : HIGHLY LUMINESCENT COLOR-SELECTIVE NANOCRYSTALLINE
MATERIALS

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

TERMINAL DISCLAIMER UNDER 37 CFR §§3.73(b) AND 1.321(c)

Pursuant to 37 CFR §3.73(b), Massachusetts Institute of Technology certifies that it is the assignee of the entire right, title, and interest in the above application by virtue of an assignment from the inventors of a priority application of the patent application identified above, recorded in the Patent and Trademark Office at Reel 9327, Frame 0361 on July 16, 1998; and by virtue of an assignment from the inventors of a priority application of the patent application identified above, recorded in the Patent and Trademark Office at Reel 11265, Frame 0304 on October 30, 2000.

Massachusetts Institute of Technology also certifies that it is the assignee of U.S. Patent No. 6,322,901, recorded in the Patent and Trademark Office at Reel 9327, Frame 0361 on July 16, 1998. A copy of the assignment is enclosed for reference.

The undersigned has reviewed all the documents in the chain of title of the above-identified application and to the best of undersigned's knowledge and belief, title is in Massachusetts Institute of Technology.

The undersigned is empowered to act on behalf of the assignee.

Pursuant to 37 CFR §1.321(c), and to obviate a double patenting rejection, the assignee identified above hereby waives and disclaims the terminal portion of the term of the entire patent to be granted upon the above identified application subsequent to the expiration date of U.S. Patent No. 6,322,901, whereby the patent granted on this application and U.S. Patent No. 6,322,901 will expire on the same day, provided that any patent granted on the above identified application shall be enforceable only for and during such period that it is commonly owned with U.S. Patent No. 6,322,901.

Applicant : Mounji G. Bawendi et al.
Serial No. : 10/642,578
Filed : August 19, 2003
Page : 2

Attorney's Docket No.: 14952.0276 C1

The assignee identified above does not disclaim any terminal part of any patent granted on the above identified application prior to the expiration date of the full statutory term of each of U.S. Patent No. 6,322,901, in the event that it later: expires for failure to pay a maintenance fee, is held unenforceable, is found invalid, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR §1.321(a), has all claims cancelled by a reexamination certificate, or is otherwise terminated prior to expiration of its statutory term, except for the separation of legal title as stated above. Assignee herein does not disclaim or otherwise affect any part of U.S. Patent No. 6,322,901.

This disclaimer runs with any patent granted on the above application and is binding upon the grantee, its successors or assigns.

Enclosed is a check for the required fee. Please charge any additional fees, or make any credits, to Deposit Account No. 19-4293, referencing Attorney Docket No. 14952.0276 C1.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Respectfully submitted,

Date: 8-11-04


Harold H. Fox
Reg. No. 41,498

Steptoe & Johnson LLP
1330 Connecticut Avenue, NW
Washington, DC 20036-1795
Phone: 202-429-3000
Fax: 202-429-3902



MIT 7771 MRS
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

OCTOBER 05, 1998

PTAS



100784159A

CHOATE, HALL & STEWART
MARY ROSE SCOZZAFAVA
EXCHANGE PLACE
53 STATE STREET
BOSTON, MA 02109

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/16/1998

REEL/FRAME: 9327/0361
NUMBER OF PAGES: 8

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

BAWENDI, MOUNGI

DOC DATE: 07/10/1998

ASSIGNOR:

JENSEN, KLAUS F.

DOC DATE: 07/10/1998

ASSIGNOR:

DABBOUSI, BASHIR O.

DOC DATE: 06/21/1998

ASSIGNOR:

RODRIGUEZ-VIEJO, JAVIER

DOC DATE: 06/19/1998

ASSIGNOR:

MIKULEC, FREDERIC VICTOR

DOC DATE: 07/10/1998

ASSIGNEE:

MASSACHUSETTS INSTITUTE OF
TECHNOLOGY
77 MASSACHUSETTS AVE.
CAMBRIDGE, MASSACHUSETTS 02139

9327/0361 PAGE 2

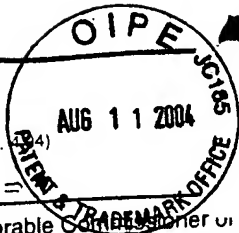
SERIAL NUMBER: 08969302
PATENT NUMBER:

FILING DATE: 11/13/1997
ISSUE DATE:

PAULA MCCRAY, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

07-24-1998

ERCKET



100784159

Tab settings = = =

To the Honorable Commissioner of Patents and Trademarks, please return the attached original documents or copy thereof.

1. Name of conveying party(ies):

(1) Mounji Bawendi (2) Klavs F. Jensen
(3) Bashir O. Dabbousi (5) Frederic
(4) Javier Rodriguez-Viejo Victor Mikulec

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: (1), (2), (5) 7/10/98
(3) 6/21/98 (4) 6/19/98

2. Name and address of receiving party(ies)

Name: Massachusetts Institute of

Internal Address: Technology

Street Address: 77 Massachusetts Ave.

City: Cambridge State: MA ZIP: 02139

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner For Patents, Washington, D.C. 20231

A. Patent Application No.(s)

08/969,302

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Mary Rose Scozzafava

Internal Address: Choate, Hall & Stewart

Exchange Place

Street Address: 53 State Street

City: Boston State: MA ZIP: 02109

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

☒ Enclosed

☒ Authorized to be charged to deposit account

8. Deposit account number:

03-1721

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Mary Rose Scozzafava

Name of Person Signing

Mary Rose Scozzafava
Signature

July 16, 1998
Date

Total number of pages including cover sheet, attachments, and document: 8

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments

med 7-20-98

07/22/1998 JSHABAZZ 00000189 08969302

01 FC-1581

40.00 00

ASSIGNMENT

WHEREAS, We Mounji Bawendi, of ^{Boston M.B.} ~~Cambridge~~, Massachusetts; **Klavs F. Jensen** of Lexington, Massachusetts; and **Frederic Victor Mikulec** of Somerville, Massachusetts having invented certain new and useful improvements in **HIGHLY LUMINESCENT COLOR-SELECTIVE MATERIALS** for which we have made application for United States Letters Patent, the said application filed on November 13, 1997, as U.S. Serial No.08/969,302

WHEREAS, Massachusetts Institute of Technology a non-profit educational institution having offices at 77 Massachusetts Avenue, Cambridge, Massachusetts, and its successors and assigns (collectively hereinafter called "the Assignee"), is desirous of acquiring my entire right, title and interest in and to the invention, and in and to the said application and any Letters Patent that may issue thereon;

NOW THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledge, We do hereby sell assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives the full and exclusive right, title and interest in and to said invention and in and to said application and all patents which may granted therefore, and all divisions, reissues, substitutions, continuations; and I hereby authorize and request the Commissioner of Patents and Trademarks to issue all patents for said invention, or patents resulting therefrom, insofar as my interest is concerned, to the said ASSIGNEE of my entire right, title and interest.

We also hereby sell and assign to said ASSIGNEE, its successors, assigns and legal representatives the full and exclusive rights, title and interest to the invention disclosed in said application throughout the world, including the right to file applications and obtain patents, utility models, industrial models and designs for said invention in its own name throughout the world, including all rights of priority, all rights to publish cautionary notices reserving ownership of said invention, and all rights to register said invention in appropriate registries; and I further agree to execute any and all powers of attorney, applications, assignments, declarations, affidavits, and any other papers in connection therewith necessary to perfect such rights, title and interest in ASSIGNEE, its successors, assigns and legal representatives.

We hereby further agree that we will communicate to said ASSIGNEE, or to its successors, assigns and legal representative, any facts known to me respecting any improvements; and, at the expense of said ASSIGNEE, to testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, continuation-in-part, reissue and substitute applications, make all lawful oaths, and generally do everything possible to vest title in said ASSIGNEE and to aid said ASSIGNEE, its successors, assigns and legal representatives to obtain and enforce proper protection for said invention in all countries.

IN WITNESS WHEREOF, I hereto set my hand and seal at Cambridge MA
this 10th day of July, 1998

Moungi Bawendi
Moungi Bawendi

STATE OF Massachusetts SS.
COUNTY OF Middlesex

Before me this 10th day of July, 1998, personally appeared
Moungi Bawendi known to me to be the person whose name of subscribed to the
foregoing Assignment and acknowledged that he executed the same as his free act and
deed for the purposes therein contained.

Carol A. Phillips
NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires:

CAROL PHILLIPS
Notary Public
My Commission Expires April 23, 2004

IN WITNESS WHEREOF, I hereto set my hand and seal at Cambridge MA
this 10th day of July, 1998

Klavs F. Jensen
Klavs F. Jensen

STATE OF Massachusetts SS.
COUNTY OF Middlesex

Before me this 10th day of July, 1998, personally appeared
Klavs F. Jensen known to me to be the person whose name of subscribed to the
foregoing Assignment and acknowledged that he executed the same as his free act and
deed for the purposes therein contained.

Carol A. Phillips
NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires:

CAROL PHILLIPS
Notary Public
My Commission Expires April 23, 2004

IN WITNESS WHEREOF, I hereto set my hand and seal at

this 10th day of July, 1998.

Frederick Victor Mikulec
FVM

STATE OF

Massachusetts

SS.

COUNTY OF

Middlesex

FVM Before me this 10th day of July, 1998, personally appeared Frederick Victor Mikulec known to me to be the person whose name of subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.

Carol A. Phillips
NOTARY PUBLIC

[Notary's Seal Here]

My Commission Expires:

CAROL PHILLIPS

Notary Public

My Commission Expires April 23, 2004

ASSIGNMENT

WHEREAS, I, Bashir - O. Dabbousi of Saudi Arabia; having invented certain new and useful improvements in **HIGHLY LUMINESCENT COLOR-SELECTIVE MATERIALS** for which I am making application for a United States Patent, the said application attached hereto; and

WHEREAS, Massachusetts Institute of Technology a non-profit educational institution having offices at 77 Massachusetts Avenue, Cambridge, Massachusetts, and its successors and assigns (collectively hereinafter called "the Assignee"), is desirous of acquiring my entire right, title and interest in and to the invention, and in and to the said Applications and any Letters Patent that may issue thereon;

NOW THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledge, I do hereby sell assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives the full and exclusive right, title and interest in and to said invention and in and to said Applications and all patents which may granted therefore, and all divisions, reissues, substitutions, continuations, continuations-in-part and extensions thereof; and I hereby authorize and request the Commissioner of Patents and Trademarks to issue all patents for said invention, or patents resulting therefrom, insofar as my interest is concerned, to the said ASSIGNEE of my entire right, title and interest.

I also hereby sell and assign to said ASSIGNEE, its successors, assigns and legal representatives the full and exclusive rights, title and interest to the invention disclosed in said Applications throughout the world, including the right to file applications and obtain patents, utility models, industrial models and designs for said invention in its own name throughout the world, including all rights of priority, all rights to publish cautionary notices reserving ownership of said invention, and all rights to register said invention in appropriate registries; and I further agree to execute any and all powers of attorney, applications, assignments, declarations, affidavits, and any other papers in connection therewith necessary to perfect such rights, title and interest in ASSIGNEE, its successors, assigns and legal representatives.

I hereby further agree that I will communicate to said ASSIGNEE, or to its successors, assigns and legal representative, any facts known to me respecting any improvements; and, at the expense of said ASSIGNEE, to testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, continuation-in-part, reissue and substitute applications, make all lawful oaths, and generally do everything possible to vest title in said ASSIGNEE and to aid said ASSIGNEE, its successors, assigns and legal representatives to obtain and enforce proper protection for said invention in all countries.

SIGNED BY:

Bashir O. Dabbousi

Bashir O. Dabbousi

6/21/98

Witnessed by:

M. Osama B. Dabbousi

Name:

21 June 98

Date:

Rasha Dabbousi

Name:

23 June 98

Date:

ASSIGNMENT

WHEREAS, I, Xavier Rodríguez-Viejo of Sant Cugat del Valles, Spain; having invented certain new and useful improvements in **HIGHLY LUMINESCENT COLOR-SELECTIVE MATERIALS** for which I am making application for a United States Patent, the said application attached hereto; and

WHEREAS, Massachusetts Institute of Technology a non-profit educational institution having offices at 77 Massachusetts Avenue, Cambridge, Massachusetts, and its successors and assigns (collectively hereinafter called "the Assignee"), is desirous of acquiring my entire right, title and interest in and to the invention, and in and to the said Applications and any Letters Patent that may issue thereon;

NOW THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, I do hereby sell assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives the full and exclusive right, title and interest in and to said invention and in and to said Applications and all patents which may be granted therefore, and all divisions, reissues, substitutions, continuations, continuations-in-part and extensions thereof; and I hereby authorize and request the Commissioner of Patents and Trademarks to issue all patents for said invention, or patents resulting therefrom, insofar as my interest is concerned, to the said ASSIGNEE of my entire right, title and interest.

I also hereby sell and assign to said ASSIGNEE, its successors, assigns and legal representatives the full and exclusive rights, title and interest to the invention disclosed in said Applications throughout the world, including the right to file applications and obtain patents, utility models, industrial models and designs for said invention in its own name throughout the world, including all rights of priority, all rights to publish cautionary notices reserving ownership of said invention, and all rights to register said invention in appropriate registries; and I further agree to execute any and all powers of attorney, applications, assignments, declarations, affidavits, and any other papers in connection therewith necessary to perfect such rights, title and interest in ASSIGNEE, its successors, assigns and legal representatives.

I hereby further agree that I will communicate to said ASSIGNEE, or to its successors, assigns and legal representative, any facts known to me respecting any improvements; and, at the expense of said ASSIGNEE, to testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, continuation-in-part, reissue and substitute applications, make all lawful oaths, and generally do everything possible to vest title in said ASSIGNEE and to aid said ASSIGNEE, its successors, assigns and legal representatives to obtain and enforce proper protection for said invention in all countries.

SIGNED BY:



Xavier Rodriguez-Viejo

06-19-98

Witnessed by:

JOSE L. TOURON (DNI 46809691)

Name:

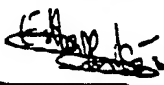


06-19-98

Date:

ESTER HUATOS (DNI 77913498)

Name:



06-19-98

Date:



099971276001
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

ELI
HHI

JANUARY 29, 2001

PTAS

FISH & RICHARDSON P.C.
ERIC L. PRAHL
225 FRANKLIN STREET
BOSTON, MASSACHUSETTS 02110-2804



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RECORDATION DATE: 10/30/2000

REEL/FRAME: 011265/0304
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

KIM, SUNGJEE

DOC DATE: 09/21/2000

ASSIGNOR:

BAWENDI, MOUNGI G.

DOC DATE: 09/21/2000

ASSIGNOR:

MIKULEC, FREDERIC V.

DOC DATE: 09/19/2000

ASSIGNEE:

MASSACHUSETTS INSTITUTE OF
TECHNOLOGY
77 MASSACHUSETTS AVENUE
CAMBRIDGE, MASSACHUSETTS 02139

SERIAL NUMBER: 09625861
PATENT NUMBER:

FILING DATE: 07/26/2000
ISSUE DATE:

No Docketing Required
Reviewed by Practice Systems
Initials KYM On 2/2/01

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FEB 02 2001

FISH & RICHARDSON, P.C.
BOSTON OFFICE

011265/0304 PAGE 2

ALLYSON PURNELL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

11-28-2000

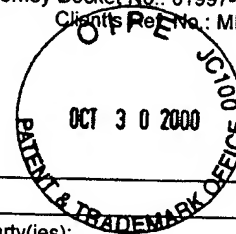


101529288

10-3000

Substitute Form PTO-1595
Attorney Docket No.: 01997-276001
Client's Ref No.: MIT 8529

FORM COVER SHEET TS ONLY



Commissioner for Patents: Please record the attached original document(s) or copy(ies).

1. Name of conveying party(ies):

Sungjee Kim, Mounji G. Bawendi and Mr.
Frederic V. Mikulec

Additional name(s) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies):

Massachusetts Institute of Technology
77 Massachusetts Avenue
Cambridge, MA 02139

Additional names/addresses attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment
- ☐ Merger
- ☐ Security Agreement
- ☐ Change of Name
- ☐ Other:

Execution Date: 09/21/2000; 09/21/2000;
09/19/2000.

4. Application number(s) or patent number(s):

If this document is being filed with a new application, the execution date of the application is:

A. Patent Application No(s):

09/625,861

B: Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name/address of party to whom correspondence concerning document should be mailed:

ERIC L. PRAHL
Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110-2804

6. Total number of applications/patents involved: 1

7. Total fee (37 CFR §3.41): \$40

- ☒ Enclosed
- ☐ Authorized to charge Deposit Account.

8. Deposit Account No.: 06-1050

Please apply any additional charges, or any credits, to our
Deposit Account No. 06-1050.

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01 FC:501

40.00 OP

9. Statement and Signature: *To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Harold H. Fox
Reg. No. 41,498

Name of Person Signing

Signature

10-3000

Date

Total number of pages including coversheet, attachments and document: 5

ASSIGNMENT

For valuable consideration, we, MOUNGI G. BAWENDI, FREDERIC V. MIKULEC, and SUNGJEE KIM, hereby assign to Massachusetts Institute of Technology, a Delaware corporation having a place of business at 77 Massachusetts Avenue, Cambridge, MA 02139; and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by us, entitled TELLURIUM-CONTAINING NANOCRYSTALLINE MATERIALS, filed July 26, 2000, and assigned U.S. Serial Number 09/625,861, and we authorize and request the attorneys appointed in said application to hereafter complete this assignment by inserting above the filing date and serial number of said application when known; this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

IN WITNESS WHEREOF, I hereto set my hand and seal at Cambridge, MA,
this 21 day of September, 2000

[Signature] L.S.
~~SUNJEE KIM~~
SUNGJEE SK

State of Massachusetts :

: ss.

County of Middlesex :

Before me this 21 day of September, 2000, personally
^{SK SUNGJEE}
appeared SUNJEE KIM known to me to be the person whose name is subscribed to the
foregoing Assignment and acknowledged that he executed the same as his free act and deed for
the purposes therein contained.

[Signature: Deborah Burke]
Notary Public

My Commission Expires:

[Notary's Seal Here]

Deborah Burke
My Comm. Exp
7/2/2004

IN WITNESS WHEREOF, I hereto set my hand and seal at Cambridge, MA,
this 21 day of September, 20 00
Moungi G. Bawendi L.S.
MOUNGI G. BAWENDI

State of Massachusetts:

: ss.

County of Middlesex :

Before me this 21 day of September, 20 00, personally
appeared MOUNGI G. BAWENDI known to me to be the person whose name is subscribed to
the foregoing Assignment and acknowledged that he executed the same as his free act and deed
for the purposes therein contained.

Deborah Burke
Notary Public

My Commission Expires:

[Notary's Seal Here]

Deborah Burke
My Comm. Exp
7/2/2004

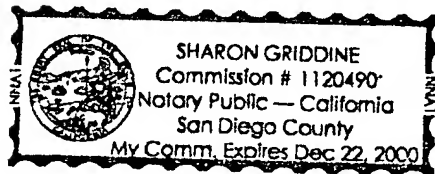
IN WITNESS WHEREOF, I hereto set my hand and seal at LA JOLLA, CA,
this 19TH day of SEPTEMBER, 2000
Frederic V. Mikulec L.S.
MR. FREDERIC V. MIKULEC

State of California :

: SS.

County of San Diego :

Before me this 19th day of September, 2000, personally
appeared MR. FREDERIC V. MIKULEC ~~known to me to~~ be the person whose name is
subscribed to the foregoing Assignment and acknowledged that he executed the same as his free
act and deed for the purposes therein contained.



Sharon Griddine
Notary Public

My Commission Expires: Dec 22, 2000

[Notary's Seal Here]